

Oversight

September 30, 2009 1:00 – 5:00



NUCLEAR EXECUTIVE
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Oversight

Theodore (Ted) Sherry

Manager Y-12 Site Office

Ted Sherry serves as the Manager for the National Nuclear Security Administration's Y-12 Site Office. In this position, he assists in the management of national defense activities at the Y-12 National Security Complex, Oak Ridge, Tennessee. He previously served as YSO Deputy Site Manager and joined the YSO staff in 2002. Y-12 is a key facility in the U.S. Nuclear Weapons Complex and is responsible for ensuring the safety and reliability of the nation's nuclear weapons stockpile.

Previously, Sherry held several other positions at the NNSA Albuquerque office from 1995 to 2002. These include nuclear explosive safety engineer, Pantex Integrated Safety Process deputy team leader, and technical training program manager.

Before joining NNSA, Sherry was a senior engineer for a contractor supporting the Environment, Safety and Health Office at the U.S. Department of Energy Headquarters, Washington, D.C. He served in the U.S. Navy as a nuclear submarine officer and is a certified nuclear engineer. His tours included submarine duty in Groton, Conn., as an undersea warfare analyst for the Chief of Naval Operations staff in Washington, and as a system engineer at the National Security Agency in Fort Meade, Maryland.

A native of Lutherville, Maryland, Sherry received a B.S. in electrical engineering from West Virginia University and a master's in business administration from the University of Maryland. He and his wife Angela have two children and live in Oak Ridge.



Oversight

Ted Sherry

September 30, 2009

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Objectives

At the Completion of the module the participants will:

- Have a basic understanding of the DOE **oversight program and process.**
- Describe the key elements of associated with **assessment planning.**
- Explain the attributes and elements associated with **conducting assessments** to achieve desired results.
- Understand how to effectively **document assessment results.**
- Identify and describe the proper attributes associated with **assessment activities and conduct.**

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Overview of the Oversight Program/Process

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Key Documents



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- DOE Policy 226.1A, *Department of Energy Oversight Policy*, Approved 5-25-07
- DOE Order 226.1A, *Implementation of Department of Energy Oversight Policy*, Approved 7-31-07
- DOE Guide 226.1-1, *DOE Oversight Guide*, Under Development (expected in RevCom by late 2007)

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What is DOE Oversight?



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Activities by DOE organizations to determine the effectiveness of Federal and contractor programs and management systems, including assurance and oversight systems.

- Operational Awareness Activities
- Onsite Reviews
- Assessments
- Self-Assessments
- Performance Evaluations
- Other Evaluation Activities

Source: DOE P 226.1A

8 Attributes for Effective Oversight



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1. Documented Program Plan
2. Continuous Improvement
3. Requirements and Performance Objectives
4. Personnel Competence
5. Baseline Oversight Program and Priorities
6. Performance Indicators and Measures
7. Self-Assessments of Line Management Functions
8. Federal Responsibility and Accountability

Source: DOE P 226.1A

Documented Program Plans



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- Program areas to be reviewed
- Periodicity of reviews
- Reviews necessary to maintain baseline oversight program
- Qualifications of review personnel
- Source of review criteria
- Oversight methods used and how used
- How results are integrated into total picture

Source: DOE P 226.1A

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Operational Awareness



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The purpose of operational awareness is to improve the field element's knowledge of:

- What work the contractor is performing,
- the progress the contractor is making in performing work,
- the effectiveness of the contractor's internal oversight program, and,
- whether the contractor is performing work safely.

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Operational Awareness



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Activities conducted by the field element and DOE Headquarters program offices, including:

- walkthroughs,
- work observation,
- document reviews,
- meeting attendance and participation, and
- routine interaction with DOE contractor workers and management.

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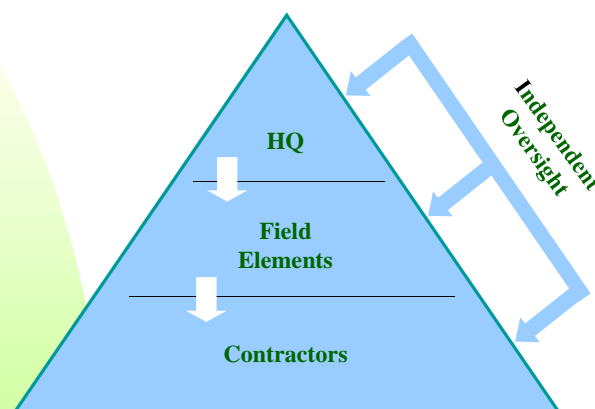
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DOE Oversight Model



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Source: DOE P 226.1A

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DOE Oversight Model



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- **Tier 1 – DOE Contractor Self-Assessment**
Contractor conducts self-assessment of sites, facilities, and activities
- **Tier 2 – DOE Field Element Safety Oversight**
Field elements conduct oversight of contractor activities
- **Tier 3 – DOE Headquarters Safety Oversight**
HQ conducts oversight of field element and contractor
- **Central Technical Authority**
Operational awareness and technical expertise
- **Independent Oversight**
Conducts oversight under authority of the Secretary

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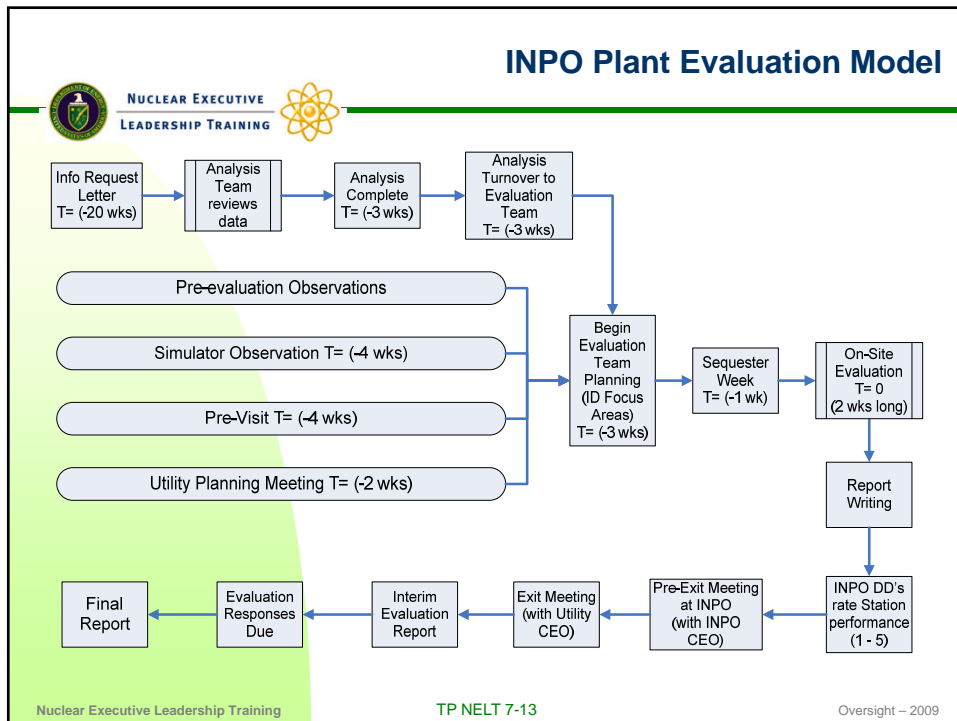


Assessment Planning

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Assessment Prioritization Considerations

Things to consider:

- Safety consequence of a failure in the system, activity, facility, etc.
- Time since the system, activity, facility, etc. was last looked at and results
- Past performance
- Areas with high risk should be balanced with areas of low risk
- The work schedule for the system, activity, facility, etc.

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Purpose of an Assessment Plan



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- Guides the assessment process and activities
- Establishes assessment scope and priorities
- Communicates with counterpart(s) and contacts at facility
- Communicates with other assessment team members
- Focuses the assessor's energy
- Serves as a task completion instrument
- Assists in writing the report

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Assessment Plan Content



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- Purpose, breadth, and scope of the assessment (focus areas)
- Date(s) for the assessment
- Criteria/performance objectives
- Suggested approach to the assessment:
 - CRADs with Lines of Inquiry
 - Activities to observe
 - Documents/records to review
 - Interviews to conduct (by position)

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Definition: **Criteria**



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Specific programmatic and technical attributes that comprise successful program development or implementation in the subject-matter area.

Criteria are rooted in DOE requirements. They serve as the baseline for evaluating policies, programs, and actions.

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Criteria/Performance Objectives



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Criteria/Performance Objectives flow directly from DOE requirements:

- Federal and State regulatory requirements
- Appropriate codes and standards
- Contract requirements
- DOE Orders, Manuals, and Notices
- Implementation plans and procedures
- Facility safety documents
- Policy and mission statements
- DOE-approved Work Smart Standards
- Standards/Requirements Identification Documents (S/RIDs)

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Definition: **Lines of Inquiry**

Series of connected questions leading to a conclusion about the acceptability of the area being evaluated (i.e., are the criteria being met?)



Sample Lines of Inquiry

Sample Lines of Inquiry (not a complete list)

- How and by whom are activities authorized?
- How are training and pre-job briefings verified as complete?
- How are work activities scheduled on the plan of the day/week?
- Describe the supervision of work activities.
- How do work documents get changed?



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Facility Documents of Interest

- Work packages and backlogs
- Procedures
- Documented Safety Analysis
- Operations and maintenance logs
- Technical reports
- Occurrence reports
- Drawings
- Past performance information



Planning for an Observation

- Work observations and CRADs should be identified in the Assessment Plan.
- Be familiar with the procedural requirements associated with the work activity prior to the observation.
- As appropriate, meet with the supervisor and/or manager responsible for the work activity being observed.
- Attend the 'plan of the day' or 'plan of the week' for activity schedule updates.
- Attend the pre-job briefing.

Observing the Work Activity



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- Worker understanding of the basic facility policies and objectives?
- Effectiveness of work practices?
- Worker training on the activity?
- Industrial Safety, Radiation Protection?
- Housekeeping and material control?
- Manager, supervisor, foreman involvement?
- Why is the worker doing that? Is it the right thing?
- Procedure sequencing and compliance?

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What Do You Look For When Observing Work Activities?

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What to Look for When Observing Work Activities



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- Are workers signed onto work permit?
- Do workers have proper tools and equipment?
- Do the workers consult a procedure and are they knowledgeable?
- Is there a pre-job brief conducted before doing work?
- Do the workers communicate properly?
- Do workers make good decisions as the task progresses?
- Do workers display a questioning attitude?

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What to Look for When Observing Work Activities (cont.)



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- Do the workers follow postings and signage?
- Do workers live with/normalize or work around problems?
- Are the workers fit for duty?
- Are workers using the proper PPE?
- Is the right craft performing the work?
- Do the workers share the workload?
- Are the workers willing and able to stop work if necessary?

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What Do You Look for in the Work Area?



What to Look for in the Work Area

- Do multiple jobs/contractors interfere with one another?
- Are there any unsafe practices observed in the work area?
- Do noise, lack of light, heat or cold, physical obstructions, etc. hinder workers' ability to do their jobs?
- Is the work hindered by excessive interruptions or delays, suggesting lack of coordination and management control?

What to Look for in the Work Area (cont.)



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- Is equipment setup/staged and ladders are secured?
- Is electrical power setup and available?
- Are potential hazards addressed?
 - Bio hazards?
 - Ergonomic hazards?
 - Confined spaces?

What to Look for in the Work Area (cont.)



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- Is the work hindered by poor housekeeping?
- Are incompatibles present?
 - Combustibles in the work area?
 - Water on the floor during electrical work?
 - Incompatible work activities?
- Keep the “big picture” in mind.

Taking Notes on What You Observe



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- Document relevant facts and impressions for later follow-up and validation.
- Notes should include “sufficient detail”
 - Log time with note entry
 - Add procedure number, equipment designator, other location reference
- Make certain your notes can be read.
- Use a digital camera, unless prohibited.

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Practical Exercise



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- **Work Observation**
- **10-minute video**
- **List what you saw.**
- **Develop a composite list of raw observations.**
- **Develop a list of follow-up items in your focus area to be shared in a team meeting.**

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Class Exercise



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What are some attributes of a good interview?

Develop a list of interviewing **“DO’s”**

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Interviewing **“DO’s”**



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- Schedule the interview and prepare questions in advance.
- Put the interviewee at ease and choose a comfortable setting.
- Eliminate disruptions and distractions.
- Introduce yourself and describe the purpose of the interview and how info will be used.
- Tailor questions to the interviewee.
- Focus on the interviewee.
- Seek to understand responses to questions.
- Use conversational language, but don’t talk too fast.

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Interviewing “DO’s” (cont.)



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- Be attentive, keep eye contact, and check your body language.
- Where possible, use a note taker in order to maximize focus on the interviewee.
- Guide the interview to keep it on track.
- Use “open-ended” questions.
- Minimize the use of questions that can be answered with a “yes” or “no.”

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Interviewing “DO’s” (cont.)



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- Ask the **right questions** — Interviewees may not volunteer information.
- Be prepared to change the line of questioning.
- Ask for **clarification** of statements you do not understand.
- **Confirm** your understanding by stating back what the person said.
- **Summarize** major points of the interview.

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Class Exercise



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What are some attributes of a good interview?

Develop a list of interviewing **“DON'Ts”**

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Interviewing **“DON'T's”**



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- Don't criticize.
- Don't be accusatory or argumentative.
- Don't dazzle people with your knowledge.
- Don't interrupt interviewee.
- Don't pressure the interviewee.
- Don't assume it is all factual.
- Don't get between the individual and his/her company's policy.

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Interviewing “DON’T’S” (cont.)



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- Don't distract from safe work performance (if interviewing in the field).
- Don't share your opinions about the assessment.
- Don't use lengthy or leading questions.
- Don't miss an opportunity to acquire more information.
- Don't answer your own question.
- Don't be late for the interview or go beyond the scheduled time.

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Other Interviewing Considerations



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- Union representation for union workers
- Site management presence
- Number of people at the interview
- Classified or unclassified
- Where to conduct the interview
- Other?

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Documenting Assessment Results

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Organize Your Observations



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Topics to consider:

- **Scope**
 - Activities observed
 - Documents reviewed
 - Interviews conducted
- **Facts**
- **Analysis**
- **Conclusions**
 - Supported by facts
 - References requirements
 - Includes significance

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What should be in SCOPE Statements?



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- **WHAT** was observed or reviewed?
- **WHO** performed the observed action? Who was interviewed? (position titles only — NO names)
- **WHERE** was the activity observed?
- **WHAT** was the **purpose** of the work activity?
- **WHEN** was activity observed or interview conducted?

SCOPE Example



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Industrial safety conditions and practices in the ABC facility were observed during HVAC preventive maintenance activities on two consecutive day shifts.

FACTS Examples



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Six of 10 personnel observed in posted high-noise areas, including supervisors, were not wearing hearing protection as required by the postings in these areas.

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FACTS Examples (cont.)



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The following examples of unsecured ladders used to support work activities were observed:

- 12-foot extension ladder in the heat exchanger room
- 20-foot extension ladder in the warehouse
- 20-foot extension ladder resting on a 1-inch instrument line outside the heat exchanger room

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Fact or Impression?



Fact or Impression?

1. "The operator did not understand what was expected of him."
2. "The supervisor provided poor direction to the electrician."
3. "The chemistry technician did not inform his supervisor that the sample results were out of specification."
4. "The radiation protection technician did not correct workers who demonstrated improper radiological practices."
5. "Management had trouble communicating to site personnel."

Fact or Impression? (cont.)



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6. "The guidance contained in the procedure appeared to be inconsistent with the verbal direction provided by the supervisor."
7. "The operator attempted to start the pump with the suction valve closed."
8. "The mechanic did not adequately review the work package before starting work."
9. "The instrument and controls technician identified the wrong fuse on the drawing."
10. "The shift supervisor did not acknowledge an operator report of decreasing flow."

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Analysis



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- Analyze what you observed.
- Put the facts in context.
- Do you need additional information?
- Do you need further validation of the facts?
- Do the facts support the conclusion?

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Does anyone care about your opinions?



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ABSOLUTELY!!

As long as they are supported by facts.
Let's call them... "Conclusions."

"We aren't as interested in what you think as we are in why you think it. You are knowledgeable and experienced.... If you have an opinion about something, chances are management should share that opinion. Give us enough information [i.e., facts] to come to the same conclusion you did."

Bill Brumley
Former Y-12 Site Manager

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Conclusions



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- **Conclusions** logically follow from itemized facts.
- **Conclusions are not:**
 - Repeated facts
 - Recommendations
 - Broader in scope than supported by facts
- **Be Conservative.** A few succinct conclusions supported by facts is the goal.

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Conclusion Examples



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- The site's LO/TO procedure does not support safe operation of the XYZ system.
- Inadequate lighting in the ABC work area presented a challenge to maintenance activities.
- The electrical maintenance morning brief effectively engaged the craft in "prevent events" discussions and lessons-learned opportunities.

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Factual Accuracy



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The process of ensuring the facts discovered during the assessment are technically accurate and complete by sharing the information with the site/contractor and getting their feedback.

Discussion topic:

How do you assure factual accuracy at your site?

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Attributes of a Valid Deficiency



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- Communicates the problem in a clear, concise manner
- Clearly identifies:
 - What is deficient (broken)
 - What is required
 - The impact on safety, the environment, etc.
- Is supported by facts
- Is not derogatory
- Stands alone
- Is closable

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Final Report Format



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- **Executive Summary**
- **Introduction/Background**
- **Methodology**
- **Results** — by section or functional area
- **Conclusions** — by section or functional area
- **Attachments**
 - Bios of individuals on the team
 - List of interviews, observations, and reviews
 - Summary list of conclusions

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Clarity and Precision



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- Keep your writing short and simple.
- Short words are better than long words.
- Be aware of overused words.
- A good rule is to limit your sentences to 20 words or less.
- Be precise, be specific — What exactly are you trying to say?
- If it sounds like a “Dear Diary” entry, it definitely needs work.

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Clarity and Precision (cont.)



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**But Be Careful
and Be Precise.**

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Example of Clarity and Precision

- After every flight, pilots at one airline fill out a form, called a "gripe sheet," which tells mechanics about problems with the aircraft.
- The mechanics correct the problems, document their repairs on the form, and then pilots review the "gripe sheets" before the next flight.
- Here are some actual maintenance problems submitted by pilots (marked with a **P**) and the solutions recorded by maintenance mechanics (marked with an **S**).



- P:** Left inside main tire almost needs replacement.
S: Almost replaced left inside main tire.
- P:** Test flight OK, except auto-land very rough.
S: Auto-land not installed on this aircraft.
- P:** Something loose in cockpit.
S: Something tightened in cockpit.
- P:** Dead bugs on windshield.
S: Live bugs on back-order.
- P:** Autopilot in altitude — hold mode produces a 200-feet per-minute descent.
S: Cannot reproduce problem on ground.

Clarity and Precision (cont.)



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- P:** Evidence of leak on right main landing gear.
S: Evidence removed.
- P:** DME volume unbelievably loud.
S: DME volume set to more believable level.
- P:** Friction locks cause throttle levers to stick.
S: That's what friction locks are for.
- P:** IFF inoperative in OFF mode.
S: IFF always inoperative in OFF mode.
- P:** Suspected crack in windshield.
S: Suspect you're right.
- P:** Number 3 engine missing.
S: Engine found on right wing after brief search.

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Clarity and Precision (cont.)



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- P:** Aircraft handles funny. (I love this one!)
S: Aircraft warned to straighten up, fly right, and be serious.
- P:** Target radar hums.
S: Reprogrammed target radar with lyrics.
- P:** Mouse in cockpit.
S: Cat installed.

And the best one for last...

- P:** Noise coming from under instrument panel. Sounds like a midget pounding on something with a hammer.
S: Took hammer away from midget!

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Assessment Activities and Conduct

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Management Expectations

- Behavior must be professional at all times.
- Avoid Conflict of Interest (perceived or actual).
- Dress appropriately for the situation.
- Minimize disrupting workers or their routines.
- Meet facility access requirements.
- Follow facility/area postings.
- Follow escort instructions.

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Field Activity Guidelines



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General Guidelines in the Field

- Perform a balanced assessment; include both positives and negatives.
- Watch people, activities, and performance.
- Always “pull the string” – “watch the tape”
- Promptly notify team leader of potential concerns.

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Field Activity Guidelines (cont.)



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General Guidelines in the Field (cont.)

- Promptly notify team leader of potential allegations.
- Avoid sharing informal copies of field notes, write-ups, or other pre-decisional information.
- Be alert for classified and sensitive information when talking to people and taking notes.
- Conduct an out brief with the supervisor.

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Field Activity Guidelines (cont.)



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Staying safe is your responsibility.

- Have a questioning attitude.
- Follow all site requirements and procedures.
- Don't touch, turn, operate, or move anything.
- Don't interfere with work or distract workers.
- Work through foremen and supervisors, as appropriate.
- Observe and comply with all postings, barriers, and warnings.

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Field Activity Guidelines (cont.)



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Field activity preparation

- Most important - do your homework!
- Follow established protocols and your assessment plan.
 - Stay objective
- Know the activity requirements and procedures.

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Field Activity Guidelines (cont.)



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Field activity preparation (cont.)

- Understand what you expect to observe and the criteria (e.g., CRAD) you will use to evaluate the activity or assessment area.
- Select important activities, watch a simple one to become familiar with the system, then observe more complex work.
- Consider the need for other assessors (e.g., additional SME's) for multi-disciplinary work.

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Practical Exercise



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Difficult Situations

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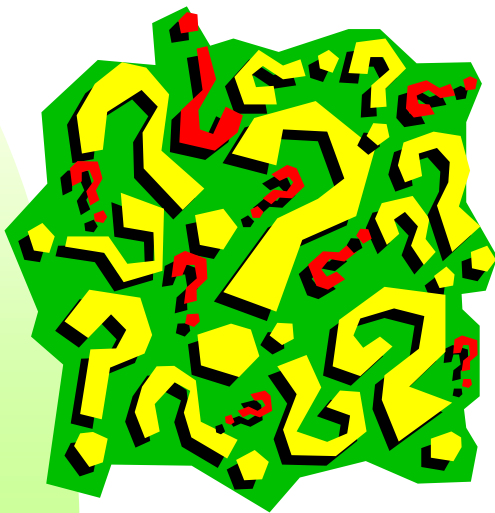
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Questions?



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